3753 #6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: UMESH GUPTA ET AL.

Filed: OCTOBER 3, 2001

For: RESOURCE MANAGEMENT ARCHITECTURE FOR USE IN INFORMATION STORAGE ENVIRONMENTS

Serial No.: 09/970,457

Group Art Unit: 3753

Examiner: UNKNOWN

Atty Docket No.: SURG:160

Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in a first class, postage prepaid envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:
2-8-02   Marty Bown
Date   Name

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, it is respectfully requested that this Supplemental Information Disclosure Statement be entered and the document(s) listed on attached Form PTO-1449 be considered by the Examiner and made of record.

In accordance with 37 C.F.R §§ 1.97(g),(h), this Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).
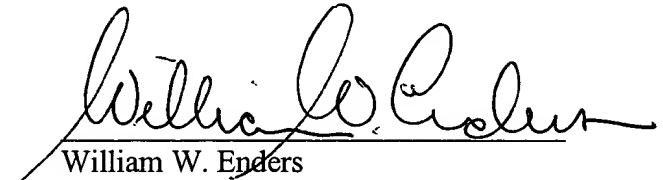
The present Supplemental Information and Disclosure Statement is being filed prior to the receipt of a first Official Action reflecting an examination on the merits, and hence is believed to be

timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with the filing of this Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Deposit Account No. 10-1205/SURG:160.

A copy of the listed document(s) required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

Applicant respectfully requests that the listed document(s) be made of record in the present case.

Respectfully submitted,

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Enclosures

Form PTO-1449 (modified)

Atty. Docket No. SURG:160	Serial No. 09/970,457

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant
Gupta et al.

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U.S. Patent Documents

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Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No

Other Art (Including Author, Title, Date, Pertinent Pages, Etc.)

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	C55	Crovella, et al., "Self-Similarity in World Wide Web Traffic Evidence and Possible Causes," Sigmetrics 96-5/96, 10 pages (1996)
	C56	Paxson, et al., "Wide-Area Traffic: The Failure of Poisson Modeling," 18 pages (July 18, 1995)
	C57	Arlitt, et al., "Web Server Workload Characterization: The Search for Invariants (Extended Version)," 15 pages (March 15, 1996)
	C58	Dilley, Web Server Workload Characterization," Hewlett-Packard Laboratories, 16 pages
	C59	Mah, "An Empirical Model of HTTP Network Traffic," IEEE, 9 pages (April 1997)
	C60	Braun, "Characterizing Traffic Workload," 5 pages (May 1998)
	C61	Banga, et al., "Measuring the Capacity of a Web Server," 12 pages (December 1997)
	C62	Arlitt, et al, "Workload Characterization of the 1998 World Cup Web Site," Hewlett-Packard Company, 81 pages (1999)
	C63	Pitkow, "Web Characterization Activity Characterization Metrics," 4 pages (December 1998)
	C64	Shenoy, et al, Symphony: An Integrated Multimedia File System," SPIE Vol. 3310, pp. 124-138 (1997)
	C65	Choi, et al., "An Implementation Study of a Detection-Based Adaptive Block Replacement Scheme, " 14 pages
	C66	Chen, et al., "Effective Hardware-Based Data Prefetching for High-Performance Processors," IEEE Transactions on Computers 0018-9340/95 Vol. 44, No. 5, pp. 609-623 (May 1995)
	C67	Karedla, et al., "Caching Strategies to Improve Disk System Performance," IEEE pp. 38-46 (February 1994)

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EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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List of Patents and Publications for Applicant's INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Applicant Gupta et al.	RECEIVED FEB 2 5 2002 TECHNOLOGY CENTER R3700
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U.S. Patent Documents *See Page*	Foreign Patent Documents *See Page*	Other Art *See Pages 1-3*

Other Art (Including Author, Title, Date, Pertinent Pages, Etc.)

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	C68	Pendse, et al., "Performance of LRU Block Replacement Algorithm with Pre-fetching," IEEE pp. 86-89 (1999)
	C69	Johnson, et al., "2Q: A Low Overhead High Performance Buffer Management Replacement Algorithm," VLDB Conference (1994)
	C70	Jouppi, Norman, "Improving Direct-Mapped Cache Performance by the Addition of a Small Fully-Associative Cache and Prefetch Buffers," IEEE, CH2887, pp. 364-373 (August 1990)
	C71	Lee, et al., "LRFU (Least Recently/Frequently Used) Replacement Policy: A Spectrum of Block Replacement Policies," Technical Report SNU-CE-AN-96-004, Dept. of Computer Engineering, Seoul National Univ., 24 pages (July 1996)
	C72	Breslau, et al, "Web Caching and Zipf-like Distributions: Evidence and Implications," IEEE Infocom, 9 pages (1999)
	C73	Jin, et al., "Temporal Locality in Web Request Streams, Sources, Characteristics, and Caching Implications," 23 pages (October 1999)
	C74	Arlitt, et al., "Evaluating Content Management Techniques for Web Proxy Caches," Hewlett-Packard Laboratories, 9 pages
	C75	Aggarwal, et al., "Caching on the World Wide Web," IEEE Transactions on Knowledge and Data Engineering 1041-4347 Vol. 11, No. 1, pp. 94-107, (January 1999)
	C76	Ng, "Advances in Disk Technology: Performance Issues," IEEE, pp. 75-81 (May 1998)
	C77	Almeida, et al, "Characterizing Reference Locality in the WWW," IEEE PDIS, 12 pages (December 1996)
	C78	Nicola, et al., "Analysis of the Generalized Clock Buffer Replacement Scheme for Database Transaction Processing," Performance Evaluation Review, Vol. 20, No. 1, pp. 35-46 (June 1992)
	C79	Dan, et al., Abstract of "Characterization of Database Access Pattern," VLDB Journal 4(1): 127-154 (1995)
	C80	Pitkow, "Summary of WWW Characterizations," 9 pages
	C81	Abrams, et al., "Caching Proxies: Limitations and Potentials," 4th Int'l Conf. on the WWW, Boston, MA, 15 pages (December 1995)
	C82	O'Neil, et al., "The LRU-K Page Replacement Algorithm For Database Disk Buffering," pp. 297-306, ACM 0-89791-592 (May 1993)

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	C83	O'Neil, et al., "An Optimality Proof of the LRU-K Page Replacement Algorithm," Journal of the ACM, Vol. 46, No. 1, pp. 92-112, (January 1999)
	C84	Ghandeharizadeh, S. et al., On Configuring a single disk continuous media server, Proceedings of the ACM SIGMETRICS. ACM, May 1995
	C85	Co-pending patent application serial no. 09/970,452 filed October 3, 2001, entitled Systems and Methods for Resource Monitoring In Information Storage Environments (SURG:159)
	C86	Co-pending patent application serial no. 09/947,869 filed September 6, 2001, entitled Systems and Methods For Resource Management In Information Storage Environments (SURG:156)

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